CME Group

CME Clearing Firm Contact System (FCS) User Manual

March 2012
Global Operations Education

Introduction to CME Group Firm Contact System

CME Group Firm Contact System (FCS) is a contact management tool that enables Clearing Member Firms to maintain and review their firm's contact information. The **FCS** is a simple, easy-to-use application for clearing firms to view other clearing firm contact information.

With **FCS** the firm's administrator can easily enter and manage your firms' contact information. This information is used by CME staff and Clearing Firms when they need to contact someone at your firm.

FCS offers several features:

- **Accessible via CME Group Portal**
  The tool allows users to access the application using the same entry point as other CME Group applications via the CME Group Portal.

- **Quick access to *all* Clearing Member Firms' Contact Information**
  Retrieving a firm's contact number has never been easier; displays on-line all clearing firms' up-to-date contact information in one location.

- **Self-Management of Clearing Firm Contact Information**
  FCS allows clearing firms to spend less time looking for Contact Information, which can sometimes be time consuming. User information is entered ***one time*** in ***one place*** and can be updated by a firm administrator at their convenience.

- **Scalable contact information**
  Contact information from CEO to staff members. Only certain contacts will be listed for public viewing.

- **Reports**

The user guide has two sections:

- *Public* - instructs users on how to view and print contact information for all firms.

- *Administration* - instructs the administrator on how to search, view, edit and confirm information; only for the firms you are authorized to access.

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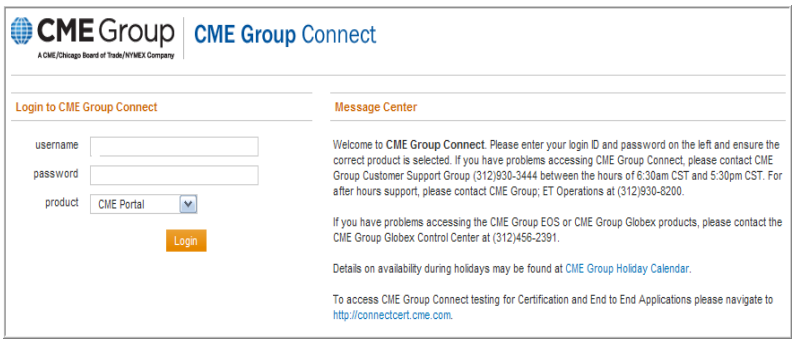
Accessing CME Firm Contacts

To access the CME Firm Contact System, complete the following steps:

1. First log on to CME Group Connect by entering the following address in your Internet browser **http://connect.cme.com.** If you do not have access, reference page 18.

2. Enter your **User Name** and **Password**, and then click **Login**. Product is set to *CME Portal*.


CME Group
CME Group Connect
Login to CME Group Connect
username
password
product
CME Portal
Login
Message Center
Welcome to CME Group Connect. Please enter your login ID and password on the left and ensure the correct product is selected. If you have problems accessing CME Group Connect, please contact CME Group Customer Support Group (312)930-3444 between the hours of 6:30am CST and 5:30pm CST. For after hours support, please contact CME Group; ET Operations at (312)930-8200.
If you have problems accessing the CME Group EOS or CME Group Globex products, please contact the CME Group Globex Control Center at (312)456-2391.
Details on availability during holidays may be found at CME Group Holiday Calendar.
To access CME Group Connect testing for Certification and End to End Applications please navigate to http://connectcert.cme.com.

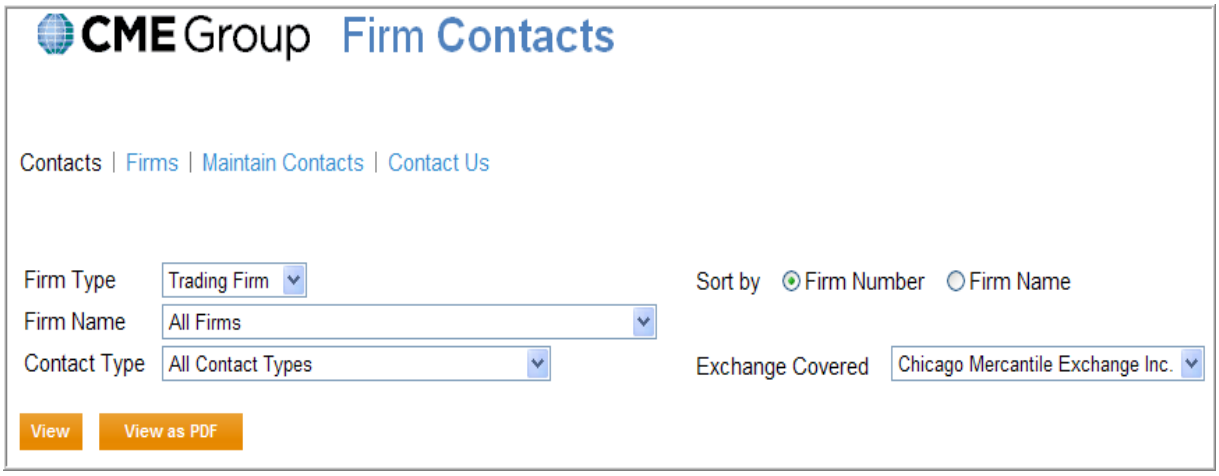
   Upon successful login, you will be redirected to the CME Applications menu.

3. Select the icon or the "**CME Firm Contacts**" link.

Firm Contacts – Main Menu

The FCS main menu window displays the following options:

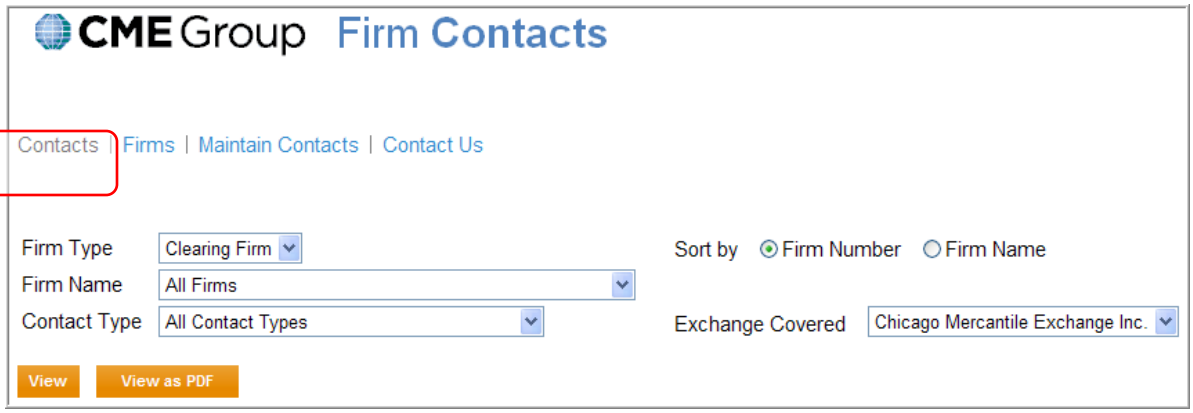
- Contacts
- Firms
- Maintain Contacts
- Contact Us



Searching for Contacts by Firm Type

The Contacts section allows the user to search for contact information by firm type, firm name and contact type. The user can filter the search by exchange.

1. To access firm contact information, click **Contacts**.



2. Select the following information:

Firm Type

- Trading Firm - displays a list of trading firm names
- Clearing Firm – displays a list of clearing firm names

  Firm type can be sorted by Firm Number (000 – 999) or Firm Name (A – Z)

Firm Name

- All Firms or click the drop-down and select a firm

  When selecting a firm from the drop-down list; the Related Clearing Firm name and number will display if the Firm Type is Trading Firm.

Contact Type

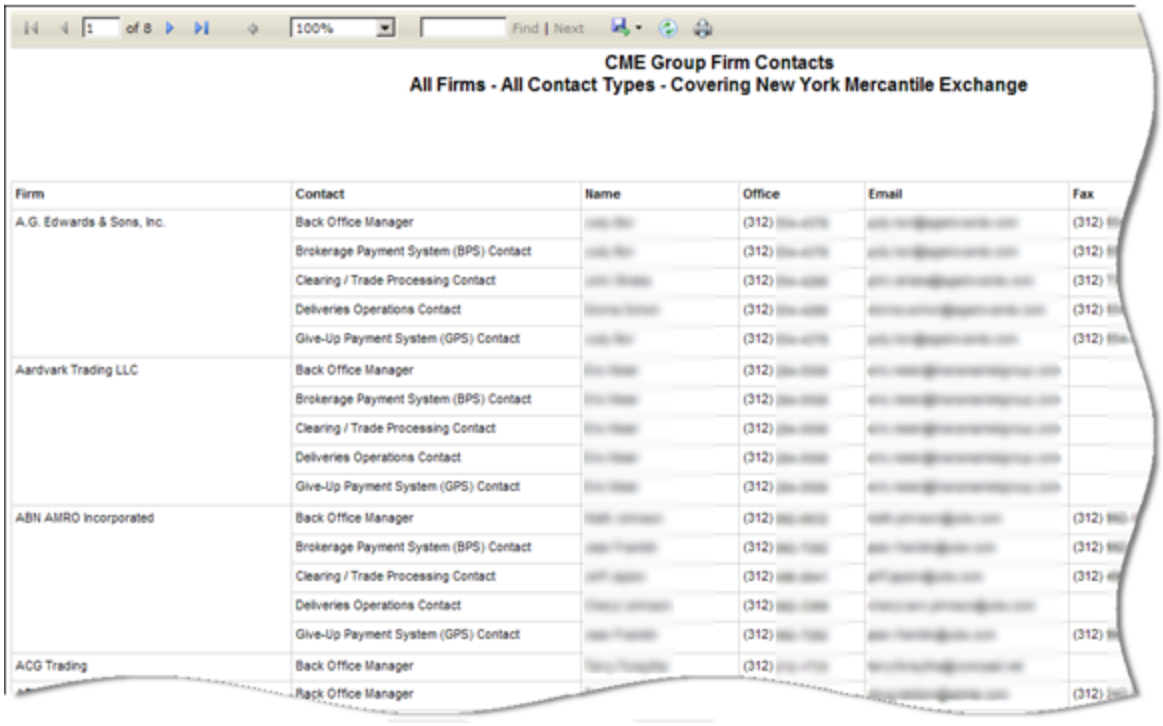
- Trading Firm
  - All Contact Types
- Clearing Firm
  - Back Office Manager
  - Brokerage Payment System (BPS) Contact
  - Clearing / Trade Processing Contact
  - Deliveries Operations Contact
  - Give-Up Payment System (GPS) Contact

Exchange Covered

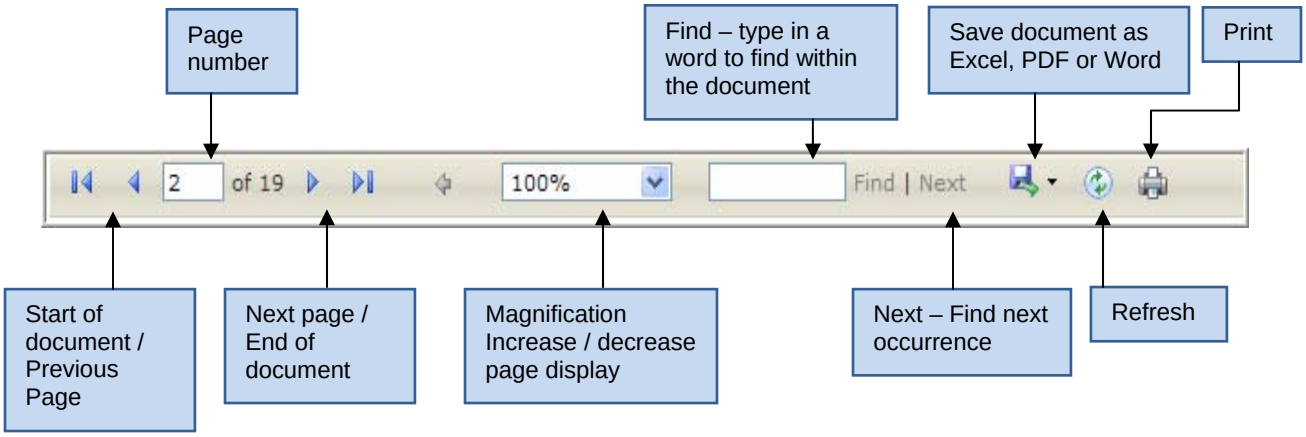
- Chicago Board of Trade
- Chicago Mercantile Exchange Inc
- New York Mercantile Exchange
- Commodities Exchange Inc

3. **Select the View or View as PDF button.**

The ***View*** button will display the following report:



When the ***View as PDF*** button is selected, the above report will display in a .PDF format allowing the user to save the document for future reference or for emailing.


Page number
Find – type in a word to find within the document
Save document as Excel, PDF or Word
Print
2 of 19
100%
Find | Next
Start of document / Previous Page
Next page / End of document
Magnification Increase / decrease page display
Next – Find next occurrence
Refresh

Note: To go directly to a page, enter page number and press 'Enter'.

4. To **Exit**, close the browser or navigate to a different web site.

Searching for Firm Contacts by Exchange

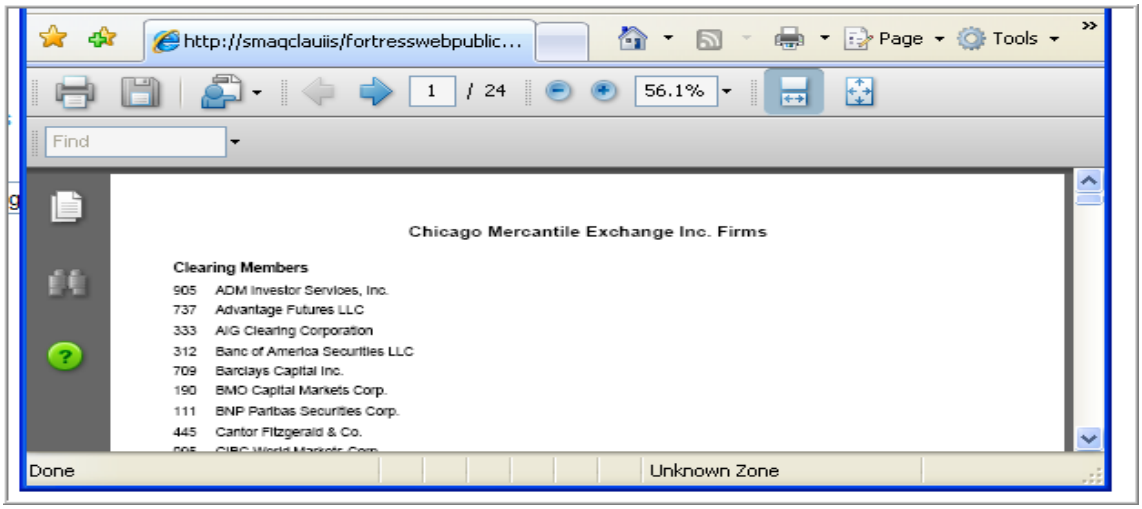
The Firms section allows the user to search for contact information by exchange. The user can sort the search by Firm Name or Firm Number.

1. Select **Firms** from the main menu.

2. Select an **Exchange** to view from the drop-down list.
   - Chicago Mercantile Exchange Inc
   - Chicago Board of Trade
   - New York Mercantile Exchange
   - Commodities Exchange Inc
3. Select the **Sort By** type:
   - Name (A - Z)
   - Number (000 - 999)
4. Click the **View** or **View As PDF** button.

1 of 19
100%
Find | Next
Chicago Mercantile Exchange Inc. Firms
Clearing Members
905 ADM Investor Services, Inc.
737 Advantage Futures LLC
333 AIG Clearing Corporation
312 Banc of America Securities LLC
709 Barclays Capital Inc.
190 BMO Capital Markets Corp.
111 BNP Paribas Securities Corp.
445 Cantor Fitzgerald & Co.
095 CIBC World Markets Corp.
273 Citadel Securities LLC
370 Citigroup Global Markets Inc.
250 Credit Suisse Securities (USA) LLC
357 Crossland LLC

'**View as PDF'** the file will open in a pop-up window.

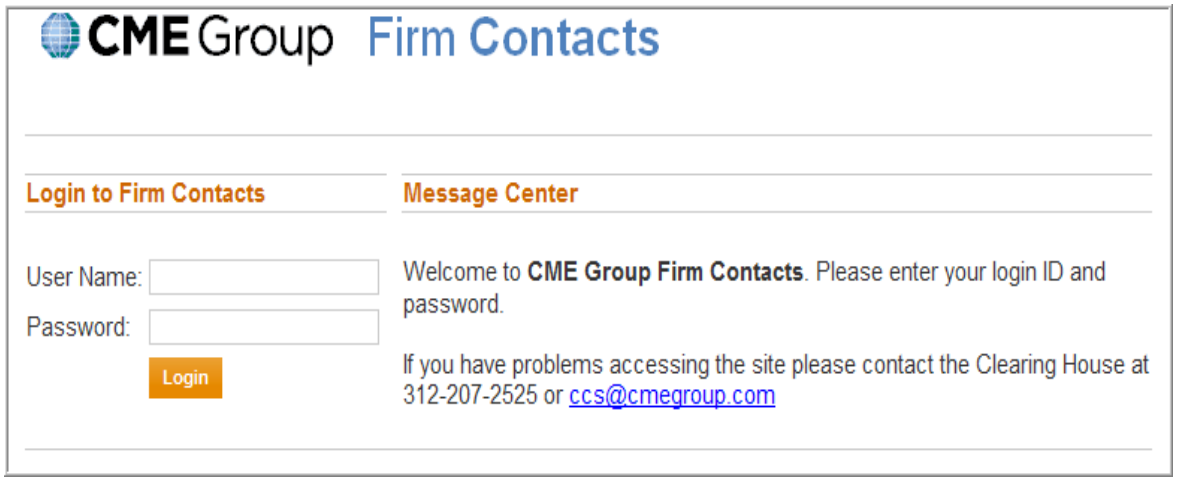


Maintain Contacts – Accessing Administrator's View

The Maintain Contacts section allows the administrator to maintain and review *their* firm's locations and contact information. The Maintain Contacts link redirects the user to the administrator's login screen (access to this area is restricted to administrators).

1. To access the administrator's view, click **Maintain Contacts**.

   The user will be redirected to an administrative login screen.


CME Group Firm Contacts
Login to Firm Contacts
Message Center
User Name:
Password:
Login
Welcome to CME Group Firm Contacts. Please enter your login ID and password.
If you have problems accessing the site please contact the Clearing House at 312-207-2525 or ccs@cmegroup.com

2. Enter your **User Name** and **Password**, and then click **Login**.

CME Group Firm Contacts
Home | Data | Reports | Contact Us | Public Site | Log Off
Welcome to the CME Firm Contacts Web site. The purpose of this site is to allow you to maintain and review your firm's location and contact data. This data is used by CME staff when they need to contact someone at your firm. You are required to review and sign-off on the completenesss and accuracy of this data twice per year.
Suggested Steps:
Step 1: Review your office locations
Step 2: Review your list of employees
Step 3: Review your association of employees and CME contact types.
Step 4: Sign-off on the data.
Request Access for Additional Users

Note: Request Access for Additional Users - - reference page 18.

Administrative - Main Menu

The administrative functions of the FCS are to review and sign-off on the completeness and accuracy of the firm's contact information. CME Group has recommended four steps to accomplish this task:

- Review Firm Office Locations
- Review Firm List of Employees
- Review Firm Association of Employees and CME Contact Types
- Sign-Off on the Firm's Information

The Firm Contact administrative main menu displays the following options:

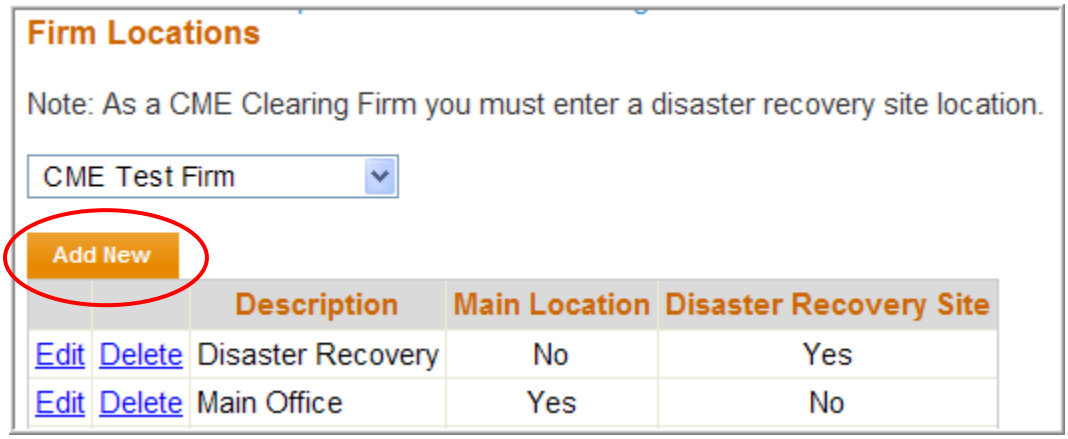
- Home
- Data (Top-Down Navigation)
  - Locations
  - Employees
  - Contacts
  - Review/Sign Off
- Reports (Top-Down Navigation)
  - Locations
  - Employees
  - Contacts
  - Sign-Off History
- Contact Us
- Public Site
- Log Out

Administrative - Review / Add Office Information

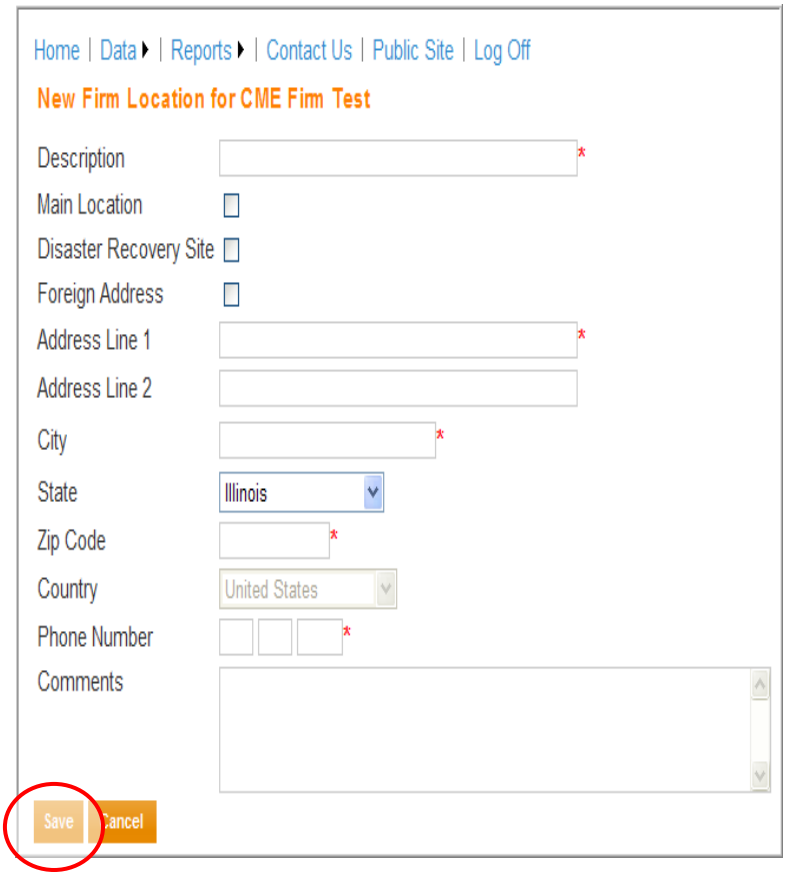
Step 1: Review your office locations

1. Click **Step 1** hyperlink to display your firm's locations **or** click *Location* located under Data.

2. To add a new location, click the **Add New** button.


Firm Locations
Note: As a CME Clearing Firm you must enter a disaster recovery site location.
CME Test Firm
Add New
Description
Main Location
Disaster Recovery Site
Edit Delete Disaster Recovery No Yes
Edit Delete Main Office Yes No

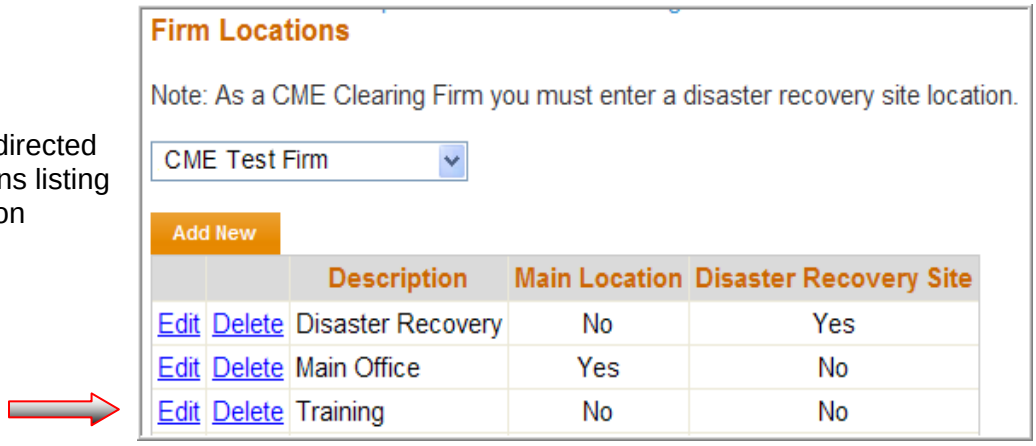
3. Enter the following information:
   - Description*
   - Check as needed:
     - Main Location
     - Disaster Recovery Site
     - Foreign Address (Reference Appendix A)
   - Address Line 1*
   - Address Line 2
   - City*
   - State
   - Zip Code*
   - Country *(enabled for Foreign Address only)*
   - Phone Number*
   - Comments (Optional)



4. Click Save after entering the firm information.

Asterisk (*) indicates required.

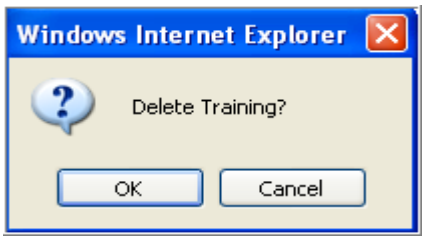
The user will be redirected to the Firm Locations listing with the new location added to the list.


Firm Locations
Note: As a CME Clearing Firm you must enter a disaster recovery site location.
CME Test Firm
Add New
Description
Main Location
Disaster Recovery Site
Edit Delete Disaster Recovery No Yes
Edit Delete Main Office Yes No
Edit Delete Training No No

Note: Location 'Main Office' can only be designated once per firm.

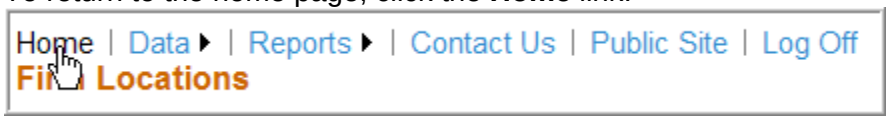
Edit and Delete Options

- To edit a firm location, click the **Edit** link. Enter the updated information and click **Save**.
- To delete a firm location, click **Delete**. A confirmation dialog box will display, click **OK**.



Note: Cannot delete a location assigned to an employee.

- To return to the home page, click the **Home** link.



Administrative – Review / Add Employees

Step 2: Review your list of employees

1. Click **Step 2** hyperlink to display a list of employees associated with your firm ***or*** Click *Employees* located under Data.

2. To add a new employee, click the **Add New** button.

3. Enter the follow information:

- Courtesy Title
- First Name*
- Middle Initial
- Last Name*
- Informal Name
- Name Suffix
- Title
- Physical Location
- Mail Location
- Floor, Suite, etc.

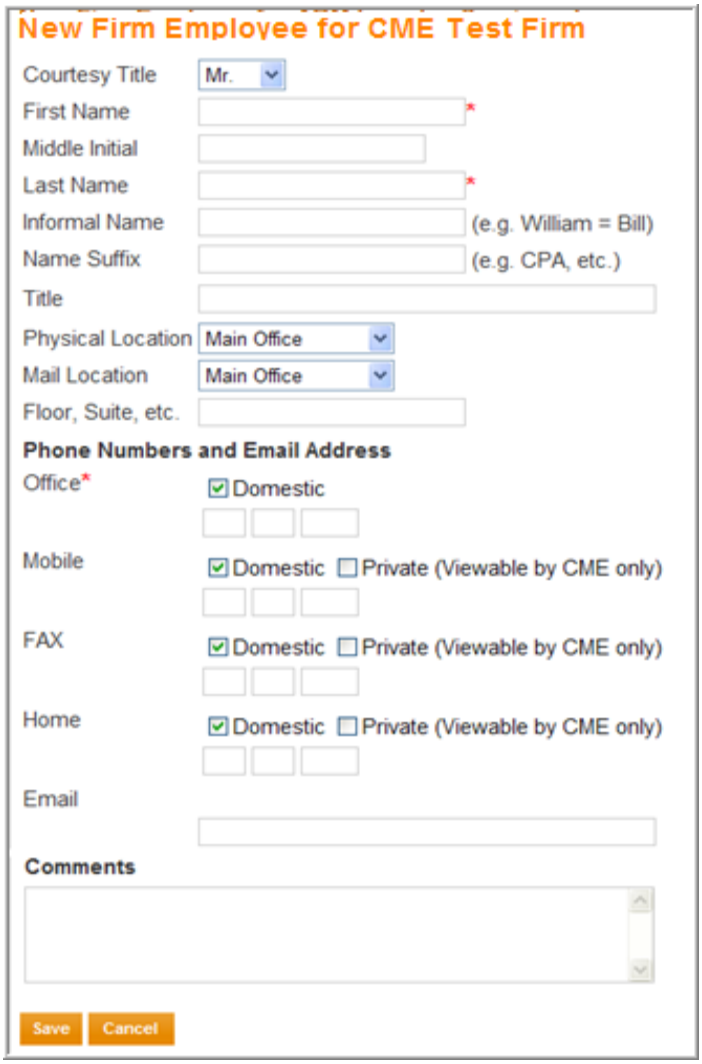
Phone Numbers and Email Address

- Office*
- Mobile
- FAX
- Home
- Email
- Comments

Note:

Foreign *Phone Numbers*, uncheck domestic the field will expand.

If marked as *Private*, the data will not be viewable by other firms.

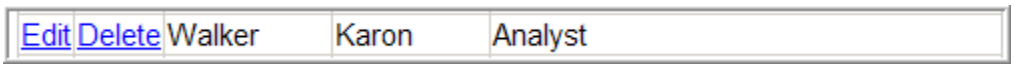


4. Click **Save** after entering the employee information.

A confirmation message will appear "*Employee changes were saved*".

Edit and Delete an Employee Information

To edit an employee's information, click the **Edit** hyperlink.

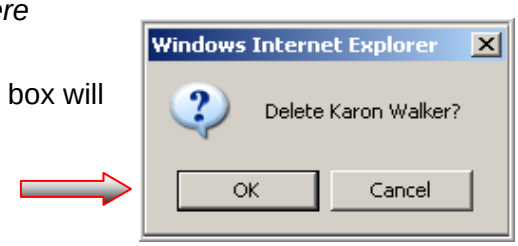


The Update Firm Employee screen will display, enter the updated information for the selected employee and then click **Save**.

A confirmation message will appear "*Employee changes were saved*".

To delete an employee, click the **Delete** hyperlink. A dialog box will display confirming the deletion.

- Click the **OK** button.

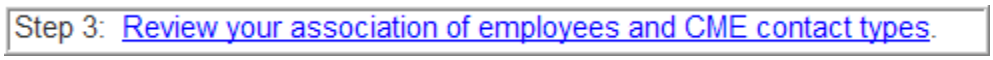


Association of Employees

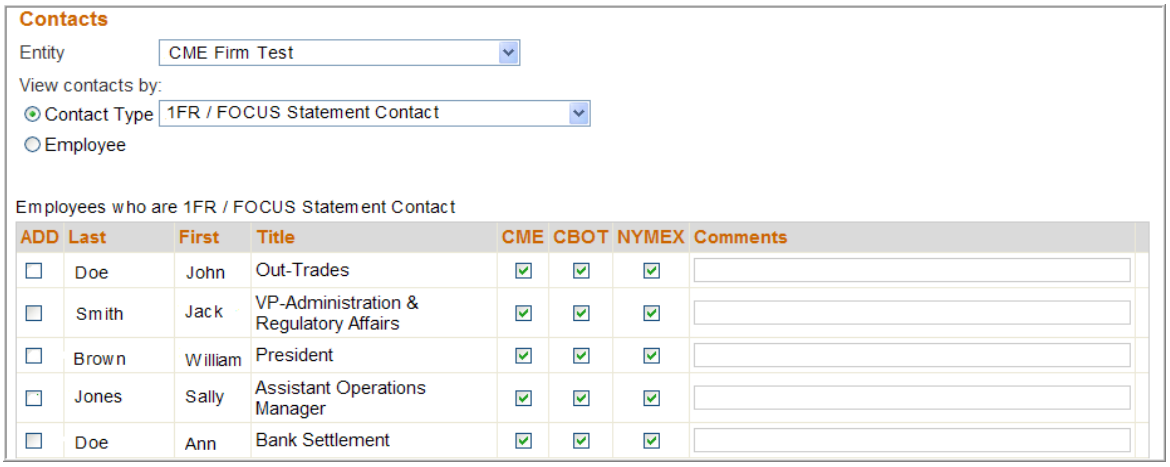
Step 3: Review your Association of Employees and CME Contact Types

This step allows you to indicate which employees are associated with specific contact types.

1. Click **Step 3** hyperlink to display a list of your firm's employees **or** click *Contacts* located under Data.

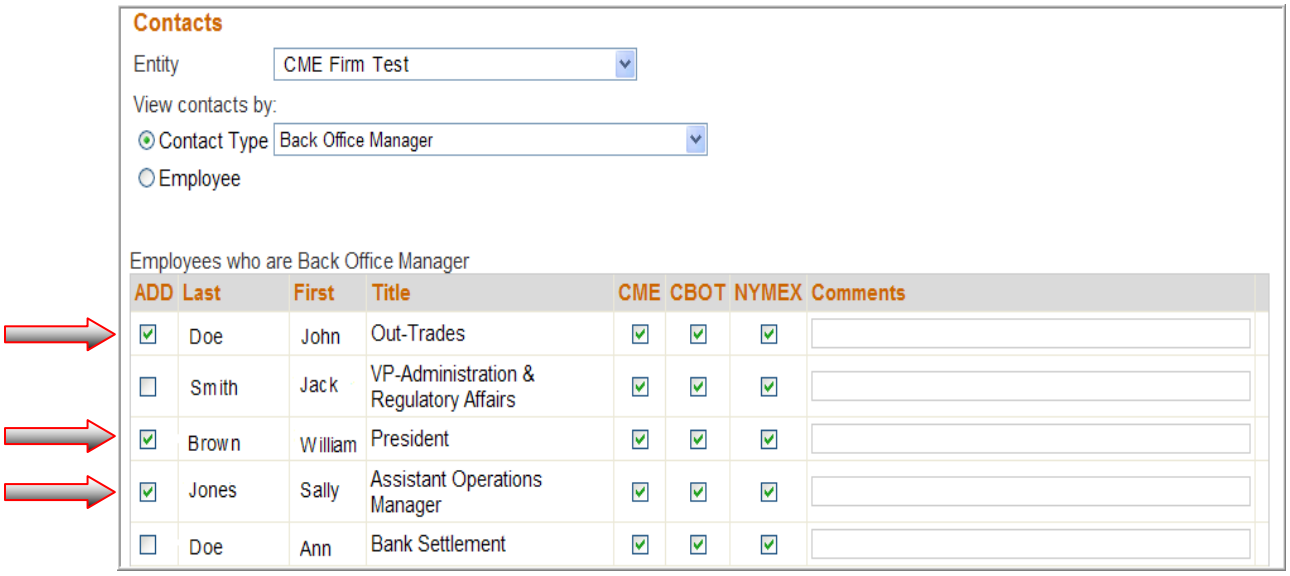


Contacts can be viewed by Contact Type or Employee Name. If a contact is marked as Private, only the CME will be able to view contact information for that employee.



ADD	Last	First	Title	CME	CBOT	NYMEX	Comments
☐	Doe	John	Out-Trades	☑	☑	☑	
☐	Smith	Jack	VP-Administration & Regulatory Affairs	☑	☑	☑	
☐	Brown	William	President	☑	☑	☑	
☐	Jones	Sally	Assistant Operations Manager	☑	☑	☑	
☐	Doe	Ann	Bank Settlement	☑	☑	☑	

2. Select the contact type you want to display. A **check** next to the employees who fall in the selected 'Contact Type' will display. [i.e. Contact Type = Back Office Manager]

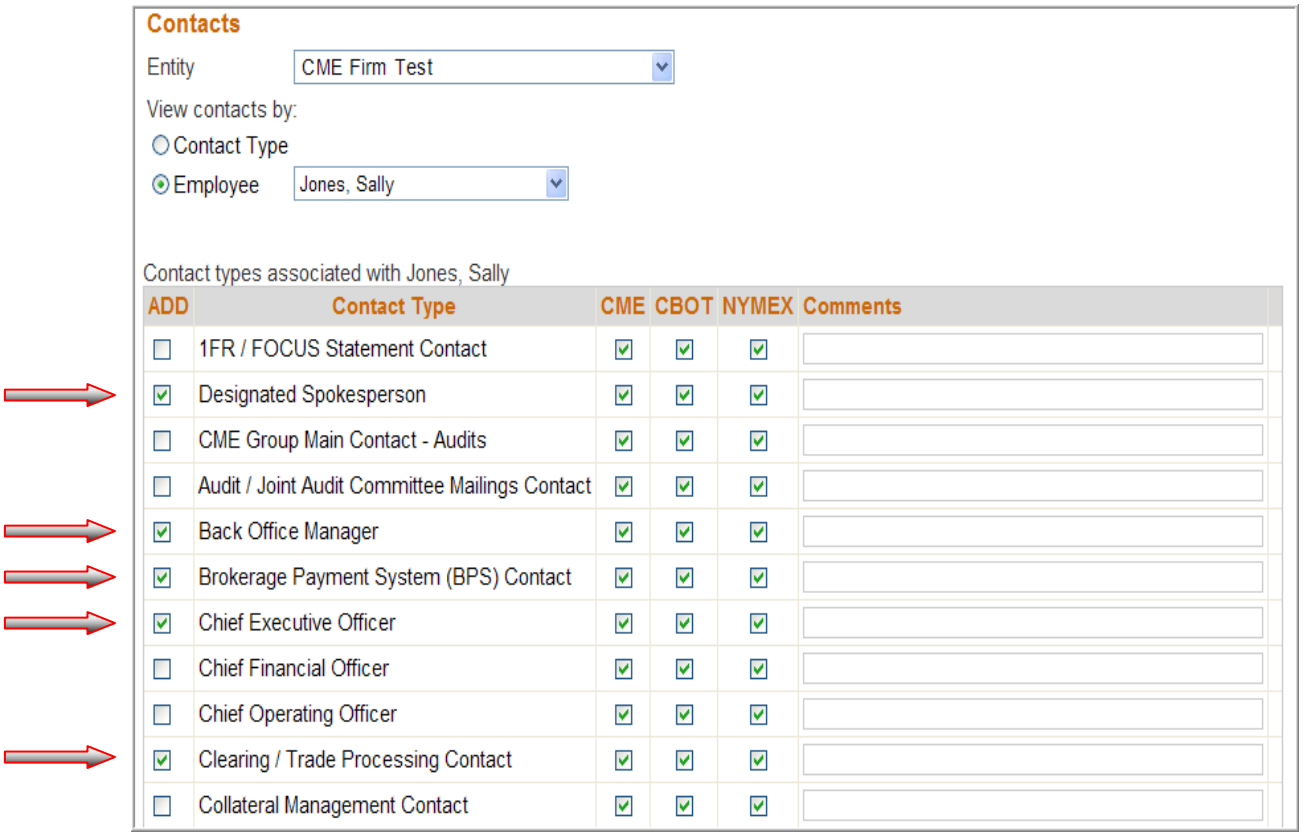


ADD	Last	First	Title	CME	CBOT	NYMEX	Comments
☑	Doe	John	Out-Trades	☑	☑	☑	
☐	Smith	Jack	VP-Administration & Regulatory Affairs	☑	☑	☑	
☑	Brown	William	President	☑	☑	☑	
☑	Jones	Sally	Assistant Operations Manager	☑	☑	☑	
☐	Doe	Ann	Bank Settlement	☑	☑	☑	

All employees who are classified as a Back Office Manager will be displayed with a checkmark.

Note: To associate employees with a 'Contact Type' click on the checkbox under ADD and then click Save (located at the bottom of screen).

To view contacts by Employee Name, select an employee from the drop-down list. The associated contact types for that employee will display.



Jones, Sally is associated with a number of contact types as displayed above.

Sign-Off

Step 4: Sign-off on the data

The administrator is required to review and sign-off on the accuracy of the firm's information as required by CME Group.

1. Click **Step 4** hyperlink **or** click *Sign Off* located under Data.

2. Click the **Sign Off** button. A confirmation message will display – *"Signoff Has Been Saved"*.

Home | Data | Reports | Contact Us | Public Site | Log Off
Review/Sign Off
CME Firm Test
Refresh Errors and Warnings
Click below to indicate that you have reviewed the contact information and attest to its accuracy and completeness.
Sign Off
Last Signoff: 6/16/2010 by Karon Walker

Note: The last administrator who signed off on the firm contact information will be displayed along with the signoff date.

Review and Sign Off – Errors and Warnings

There are two types of messages that may display - - Errors or Warnings.

An error will *not* allow you to sign off, it must be corrected.

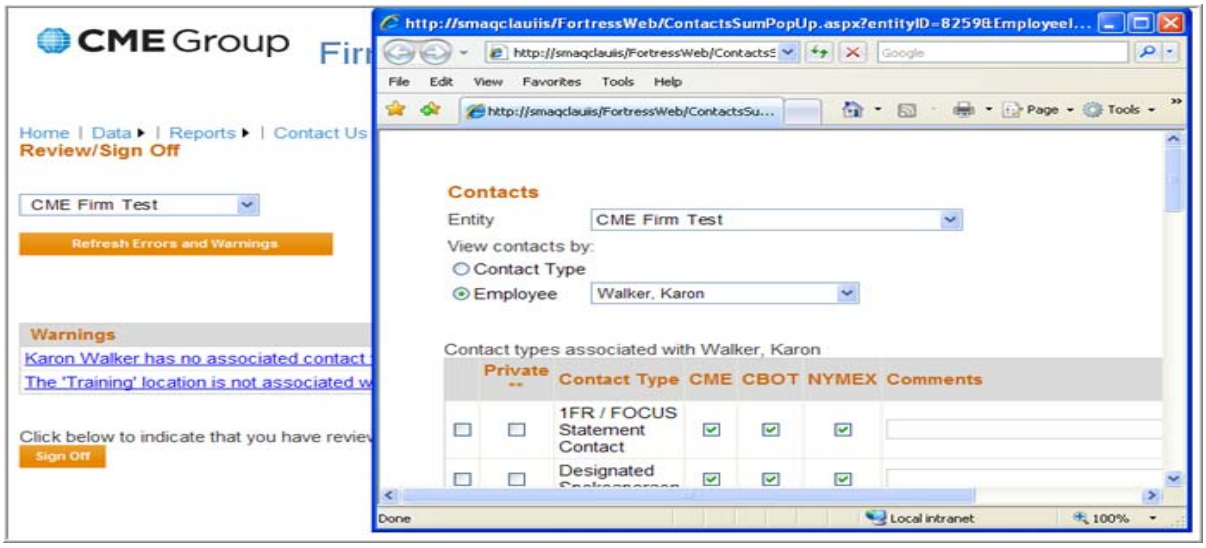
A warning will allow you to sign off however; if you can correct the warning then do so.

In the screen shot on the next page, there are two messages listed in the Warnings section:

- **Error Message**: Karon Walker has no associated contact type.
- **Warning Message**: The 'Training' location is not associated with a contact type.

o If a message is indicated click the **warning message** link located in the Warning section of the Sign Off screen.

After clicking the warning / error a pop-up screen will display.



To correct an associated contact error

1. Click on the checkbox(s) to the left of the Contact Type that the employee is associated with.
2. Scroll to the bottom of the list and click **Save**.
3. Close the pop-up window.

Multiple warnings

1. Click on each warning link for details on how to clear the warning message(s).
2. After you have corrected the warning messages, click the **Refresh Errors and Warning** button.

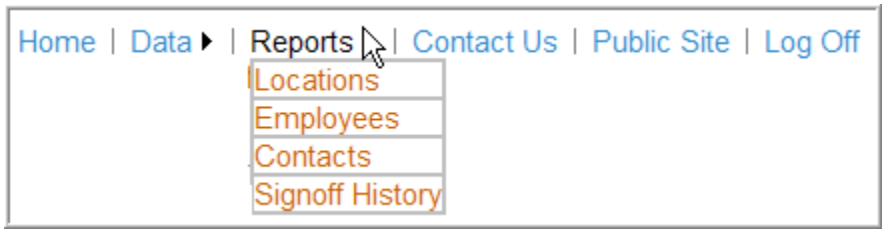
- Click the **Sign Off** button after refreshing the errors and warnings.

Reports

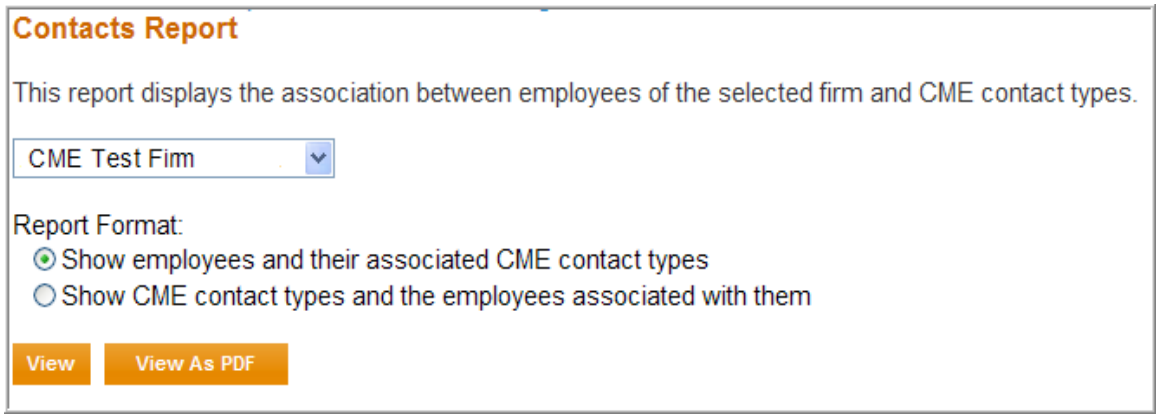
The Firm Contact System has pre-defined reports to choose. The report types are:

- Contacts – This report displays the association between employees of the selected firm and CME contact types.
- Employees – This report displays detailed information about all of the employees for the selected firm.
- Locations – This report displays detailed information about all of your firm locations.
- Sign-Off History – This report displays a summary of your sign-off activity. It includes the approver's name and date signed-off.

1. To select a report, hover the mouse over **Reports** and click on a report type.

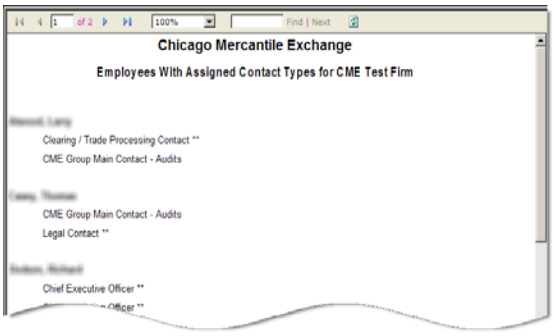


2. Select a firm. Only the firms you are authorized to view will display.
3. Select the report format and then click **View** or **View as PDF**.

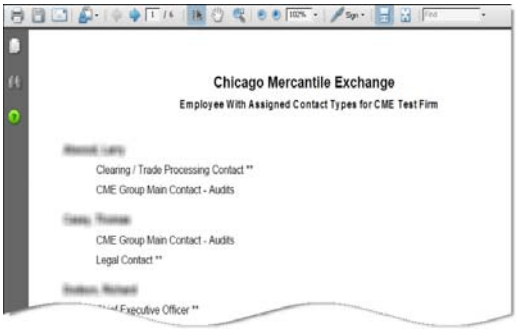

Contacts Report
This report displays the association between employees of the selected firm and CME contact types.
CME Test Firm
Report Format:
Show employees and their associated CME contact types
Show CME contact types and the employees associated with them
View
View As PDF

The View modes options:

View


Chicago Mercantile Exchange
Employees With Assigned Contact Types for CME Test Firm
Clearing / Trade Processing Contact **
CME Group Main Contact - Audits
CME Group Main Contact - Audits
Legal Contact **
Chief Executive Officer **

View as PDF


Chicago Mercantile Exchange
Employee With Assigned Contact Types for CME Test Firm
Clearing / Trade Processing Contact **
CME Group Main Contact - Audits
CME Group Main Contact - Audits
Legal Contact **

4. To exit the View mode click the internet back button.

Contact Us

The **Contact Us** link will display contact information for content or website concerns.

- CME Clearing Services – ccs@cmegroup.com - 1-312-207-2525

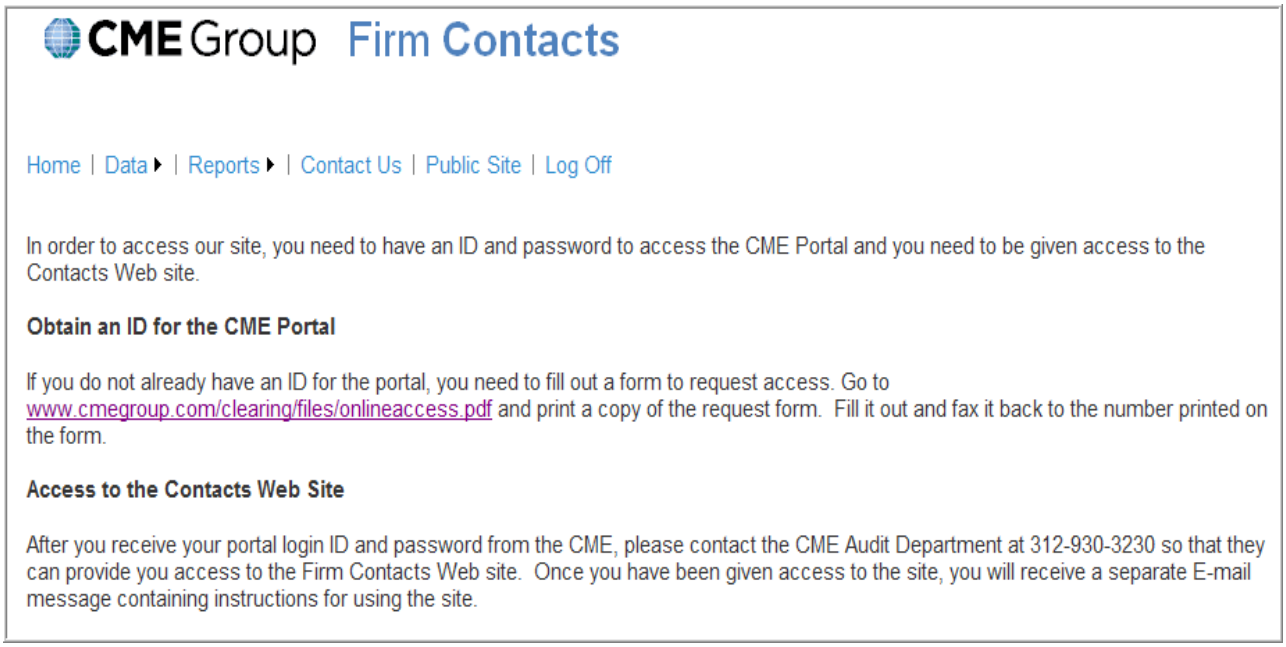
Public Site

Click the **Public Site** button to exit the administrative module.

Log Out

Click the **Log Off** button to exit FCS.

Request Access for Additional Users



CME Group Firm Contacts

Home | Data | Reports | Contact Us | Public Site | Log Off

In order to access our site, you need to have an ID and password to access the CME Portal and you need to be given access to the Contacts Web site.

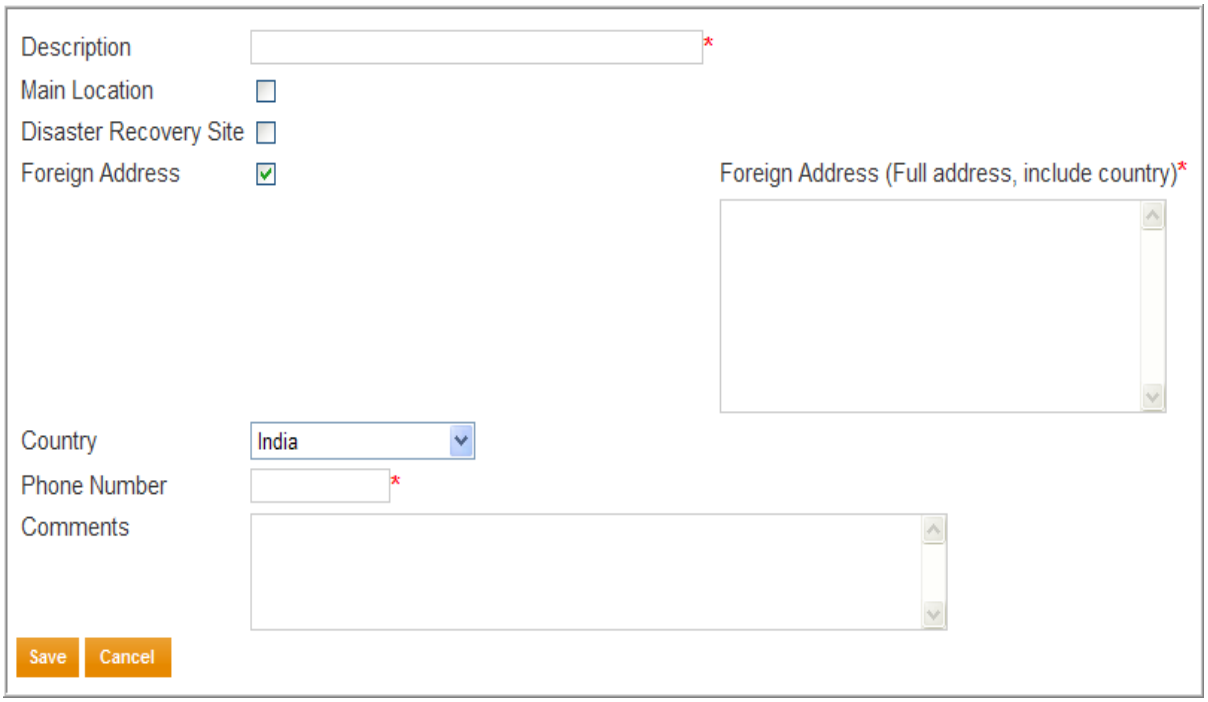
Obtain an ID for the CME Portal

If you do not already have an ID for the portal, you need to fill out a form to request access. Go to www.cmegroup.com/clearing/files/onlineaccess.pdf and print a copy of the request form. Fill it out and fax it back to the number printed on the form.

Access to the Contacts Web Site

After you receive your portal login ID and password from the CME, please contact the CME Audit Department at 312-930-3230 so that they can provide you access to the Firm Contacts Web site. Once you have been given access to the site, you will receive a separate E-mail message containing instructions for using the site.

Appendix A – Location with Foreign Address



Appendix B – Employee with Foreign Phone Number

Click the **Domestic** checkbox to expand the phone number field.

20 South Wacker Drive
Chicago, Illinois 60606-7499
Tel: 1 312 930 1000
Fax: 1 312 466 4410
E-mail: info@cmegroup.com

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